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PTO  
JUN 18 2004  
MAIL DATE CANCELLED  
U.S. PATENT & TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 100049)

PTO  
JUN 21 2004  
U.S. PATENT & TRADEMARK OFFICE

The Application of:

David Mikolas

Serial No.: 10/810,257

Filed: March 26, 2004

Title: Dielectric-In-Dielectric Damascene Process  
For Manufacturing Planar Waveguides

Art Unit:

Examiner: Not Assigned

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

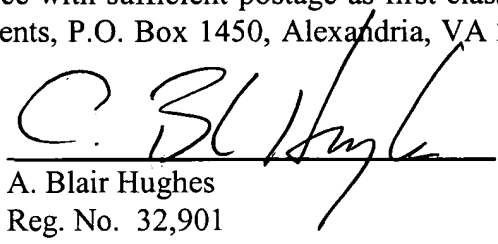
Sir:

**TRANSMITTAL LETTER**

In regard to the above identified application:

1. We are transmitting herewith the attached:
  - a. Information Disclosure Statement
  - b. PTO Form 1449
  - c. Cited Non-U.S. Patent References
  - d. Return receipt postcard
2. With respect to additional fees:
  - a. Attached is a check in the amount of \$-0-
3. Please charge any additional fees or credit overpayment to Deposit Account No.13-2490. A duplicate copy of this sheet is enclosed.
4. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 17th day of June, 2004.

By :

  
A. Blair Hughes  
Reg. No. 32,901

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PATENT

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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. Section 1.97-1.98, applicants wish to make the following references of record in the above-identified application. These references may be material to the Examiner's consideration of the presently pending claims. Copies of the Non-U.S. patent references cited below are enclosed along with a completed Form-1449.

**U.S. Patents**

	<u>Patent Number</u>	<u>Inventor</u>	<u>Issue Date</u>
1.	4,789,648	Chow et al.	December 6, 1988
2.	4,956,313	Cote et al.	September 11, 1990
3.	5,137,544	Medellin	August 11, 1992

McDONNELL BOEHNEN HULBERT & BERGHOFF  
300 South Wacker Drive, 32<sup>nd</sup> Floor  
Chicago, Illinois 60606

	<u>Patent Number</u>	<u>Inventor</u>	<u>Issue Date</u>
4.	5,157,876	Medellin	October 27, 1992
5.	5,209,816	Yu et al.	May 11, 1993
6.	5,244,523	Tollini	September 14, 1993
7.	5,340,370	Cadien et al.	August 23, 1994
8.	5,354,490	Yu et al.	October 11, 1994
9.	5,391,258	Brancaleoni et al.	February 21, 1995
10.	5,476,606	Brancaleoni et al.	December 19, 1995
11.	5,527,423	Neville et al.	June 18, 1996
12.	5,555,342	Buchal et al.	September 10, 1996
13.	5,640,411	Bochumel	June 17, 1997
14.	5,672,672	Amano et al.	September 30, 1997
15.	5,783,489	Kaufman et al.	July 21, 1998
16.	5,900,057	Buchal et al.	May 4, 1999
17.	5,954,997	Kaufman et al.	September 21, 1999
18.	5,966,481	Jolley et al.	October 12, 1999
19.	5,979,188	Ojha	November 9, 1999
20.	5,993,686	Streinz et al.	November 30, 1999
21.	5,998,298	Fleming et al.	December 7, 1999
22.	6,015,506	Streinz et al.	January 18, 2000
23.	6,033,596	Kaufman et al.	March 7, 2000

	<u>Patent Number</u>	<u>Inventor</u>	<u>Issue Date</u>
24.	6,039,891	Kaufman et al.	March 21, 2000
25.	6,063,306	Kaufman et al.	May 16, 2000
26.	6,068,787	Grumbine et al.	May 30, 2000
27.	6,085,012	O'Connor	July 4, 2000
28.	6,121,143	Messner et al.	September 19, 2000
29.	6,192,061	Hart et al.	February 20, 2001
30.	6,304,711	Samson et al.	October 16, 2001
31.	6,373,872	Deacon	April 16, 2002
32.	6,456,637	Holcomb et al.	September 24, 2002

#### **Other Documents**

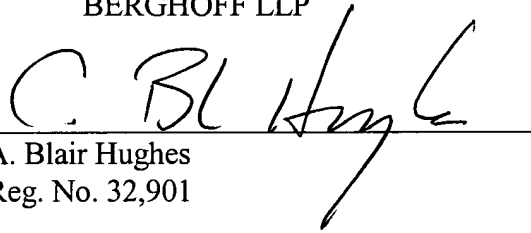
1. Maru et al., "Athermal and Center Wavelength Adjustable Arrayed-Waveguide Grating",  
*Optoelectronic System Laboratory*

Respectfully submitted,

McDONNELL BOEHNEN HULBERT &  
BERGHOFF LLP

Dated: June 17, 2004

By:

  
A. Blair Hughes  
Reg. No. 32,901

FORM PTO-1449  
(Rev. 2-32)

U.S. Department of Commerce  
Patent and Trademark Office

Atty. Docket No.

100049

Serial No.

10/810,257

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use several sheets if necessary)

Applicant:

Mikolas

Filing Date:

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Group:

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
	4,789,648	12/6/88	Chow et al.			
	4,956,313	9/11/90	Cote et al.			
	5,137,544	8/11/92	Medellin			
	5,157,876	10/27/92	Medellin			
	5,209,816	5/11/93	Yu et al.			
	5,244,523	9/14/93	Tollini			
	5,340,370	8/23/94	Cadien et al.			
	5,354,490	10/11/94	Yu et al.			
	5,391,258	2/21/95	Brancaleoni et al.			
	5,476,606	12/19/95	Brancaleoni et al.			
	5,527,423	6/18/96	Neville et al.			
	5,555,342	9/10/96	Buchal et al.			
	5,640,411	6/17/97	Bochumel			
	5,672,672	9/30/97	Amano et al.			
	5,783,489	7/21/98	Kaufman et al.			
	5,900,057	5/4/99	Buchal et al.			
	5,954,997	9/21/99	Kaufman et al.			

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

**FORM PTO-1449**  
(Rev. 2-32)

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**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
	5,966,481	10/12/99	Jolley et al.			
	5,979,188	11/9/99	Ojha			
	5,993,686	11/30/99	Streinz et al.			
	5,998,298	12/7/99	Fleming et al.			
	6,105,506	1/18/00	Streinz et al.			
	6,033,596	3/7/00	Kaufman et al.			
	6,039,891	3/21/00	Kaufman et al.			
	6,063,306	5/16/00	Kaufman et al.			
	6,068,787	5/30/00	Grumbine et al.			
	6,085,012	7/4/00	O'Connor			
	6,121,143	9/19/00	Messner et al.			
	6,192,061	2/20/01	Hart et al.			
	6,304,711	10/16/01	Samson et al.			
	6,373,872	4/16/02	Deacon			
	6,456,637	9/24/02	Holcomb et al.			

**FOREIGN PATENT DOCUMENTS**

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**Filing Date:**

March 26, 2004

**Group:**

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc).**

		Maru et al., "Athermal and Center Wavelength Adjustable Arrayed-Waveguide Grating", <i>Optoelectronic System Laboratory</i>

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